



01-12.06 PB

Attorney Docket No. 15437-0106

2135  
TFW

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sharon S. Liu, et al.

Serial No.: 09/483,726

Filed: January 14, 2000

For: METHOD AND APPARATUS FOR  
VERIFYING THE LEGITIMACY OF AN  
UNTRUSTED MECHANISM

Confirmation No.: 8758

Group Art Unit No.: 2135

Examiner: KLIMACH, PAULA  
W.

Mail Stop Issue Fee  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**COMMUNICATION**

Sir:

Please find enclosed "copies" of two Information Disclosure Statements and Forms 1449 that were submitted to the U.S. Patent and Trademark Office on January 30, 2004 (postcard date stamped by USPTO February 4, 2004) and January 21, 2004 (postcard date stamped January 26, 2004). We are also enclosing a copy of the "Patent Application Information Retrieval" listing that shows these two Information Disclosure Statements as having been entered into the USPTO records February 4, 2004 and January 26, 2004. We never received initialed copies of the Forms 1449, and were told via phone by Examiners Vu and Klimach that they did not have these Information Disclosure Statements and 1449s in their records.

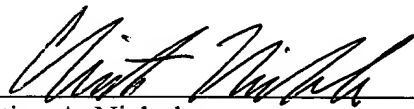
The Examiner is respectfully requested to contact the undersigned by telephone if it is believed that such contact would be helpful

If any applicable fee is missing or insufficient, throughout the pendency of this application, the Commissioner is hereby authorized to deduct any applicable fees from and to credit any overpayments to our Deposit Account No. 50-1302.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: January 10, 2006



Christian A. Nicholes  
Reg. No. 50,266

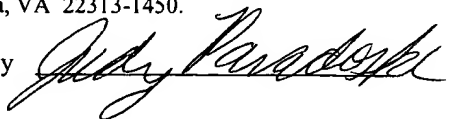
2055 Gateway Place, Suite 550  
San Jose, California 95110-1089  
Telephone No.: (408) 414-1080  
Facsimile No.: (408) 414-1076

**CERTIFICATE OF MAILING**

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on January 10, 2006

by





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## Acknowledgment Receipt

Mailing Date: January 30 2004

Attorney Docket No. 15437-0106

Serial No.: 09/483,726

Inventor(s): Sharon Liu, et al.

Title: METHOD AND APPARATUS FOR VERIFYING THE LEGITIMACY OF AN UNTRUSTED MECHANISM

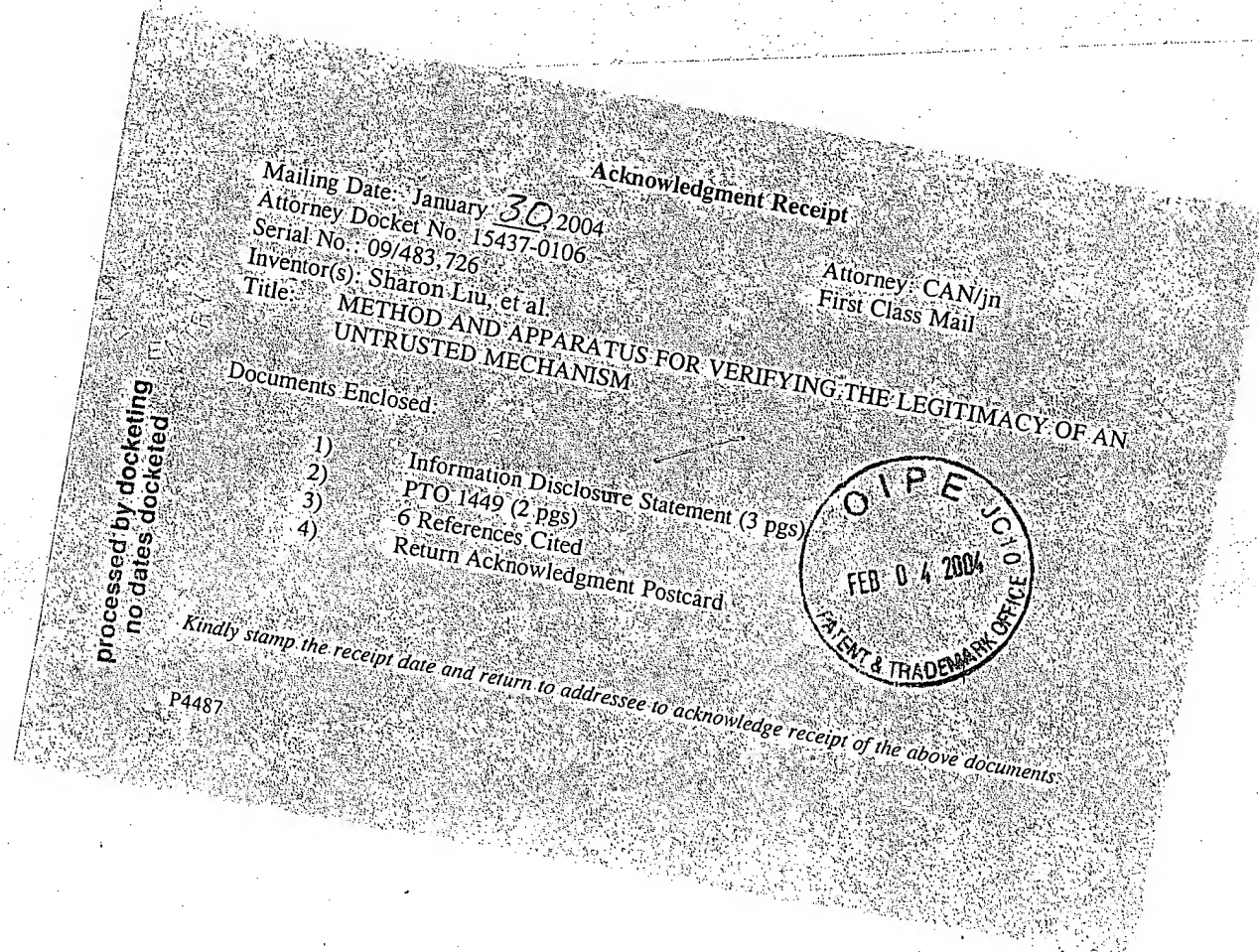
Attorney: CAN/jn  
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### Documents Enclosed:

- 1) Information Disclosure Statement (3 pgs)
- 2) PTO 1449 (2 pgs)
- 3) 6 References Cited
- 4) Return Acknowledgment Postcard

*Kindly stamp the receipt date and return to addressee to acknowledge receipt of the above documents.*

P4487





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sharon Liu, et al.

Serial No.: 09/483,726

Filed on: January 14, 2000

) Confirmation No.: 8758  
)  
) Examiner: KLIMACH,  
) PAULA W.  
)  
) Group Art Unit No.: 2135

For: METHOD AND APPARATUS FOR VERIFYING THE LEGITIMACY OF AN  
UNTRUSTED MECHANISM

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

- \_\_\_\_\_ 37 C.F.R. §1.97(b).  
  X   37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:  
  X   A statement pursuant to 37 C.F.R. §1.97(e)

  X   1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart

foreign application not more than three months prior to the filing of this information disclosure statement.

\_\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

\_\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

\_\_\_\_\_ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.

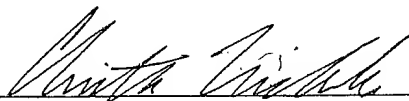
- (1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: January 30, 2004

  
\_\_\_\_\_  
Christian A. Nicholes  
Reg. No. 50,266

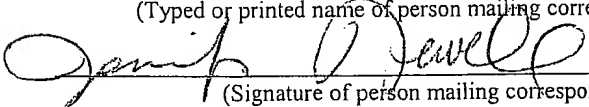
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San Jose, California 95125-5106  
Telephone: (408) 414-1080  
Facsimile: (408) 414-1076

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January 30, 2004  
(Date of Deposit)

Jennifer Newell

(Typed or printed name of person mailing correspondence)

  
\_\_\_\_\_  
(Signature of person mailing correspondence)

IN ANA  
JAN 10 2006  
PATENT & TRADEMARK OFFICE

SERIAL NO.  
09/483,726.

FILING DATE:  
January 14, 2000

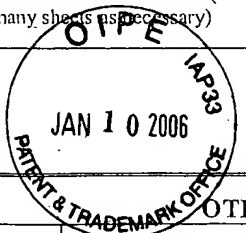
GROUP:  
2135

[illegible][illegible]Examiner  
Signature

Date Considered

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Page 1 of 2

Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary)		Attorney Docket No.: 15437-0106	Application Number: 09/483,726
		First Named Inventor: Sharon S. Liu	
		Filing Date: January 14, 2000	
OTHER ART - NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
		Don Tibes, "Regression Testing and Conformance Testing Interactive Programs," Summer '92 USENIX - June 8-June 12, 1992 - San Antonio, TX, XP-002262434, pp. 135-144.	
		P. Thevenod-Fosse, et al., "An Experimental Study on Software Structural Testing: Deterministic Versus Random Input Generation," IEEE, 1991, pp. 410-417.	
		"Definition of wrapper", FOLDOC DICTIONARY OF COMPUTING, 12/15/1998, XP-002263084, 1 page.	
		M. Mullin, "Object Oriented Program Design," July 1992, XP-002263085, pp. 54-58, 287-288.	

Examiner Signature		Date Considered	
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.





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## Acknowledgment Receipt

Mailing Date: January 24, 2004

Attorney Docket No. 15437-0106

Serial No.: 09/483,726

Inventor(s): Sharon Liu, et al.

Title: METHOD AND APPARATUS FOR VERIFYING THE LEGITIMACY OF AN UNTRUSTED MECHANISM

Attorney: CAN/jn

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P4487

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Attorney: CAN/jn  
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Serial No.: 09/483,726

Filed on: January 14, 2000

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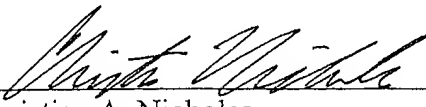
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Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: January 20, 2004

  
\_\_\_\_\_  
Christian A. Nicholes  
Reg. No. 50,266

1600 Willow Street  
San Jose, California 95125-5106  
Telephone: (408) 414-1080  
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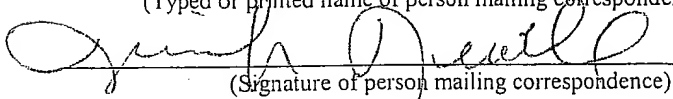
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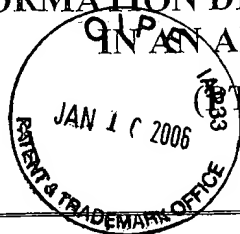
January 21, 2004  
(Date of Deposit)

Jennifer Newell

(Typed or printed name of person mailing correspondence)

  
\_\_\_\_\_  
(Signature of person mailing correspondence)

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION



(PCT-1449)

ATTY. DOCKET NO.  
15437-0106

SERIAL NO.  
09/483,726

APPLICANT:  
Sharon Liu et al.

FILING DATE:  
January 14, 2000

GROUP:  
2135

## U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
		6,298,445	B1	Shostak et al.	10-02-2001	

## FOREIGN PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

## OTHER ART - NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
		David A. Taylor, "Object-Oriented Information Systems, Planning and Implementation," 1992, John Wiley and Sons, 369 pages.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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